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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Attorney Docket No. 040425-0152**

Applicant: Akiko SHIRAI  
Title: DOCUMENT FILING METHOD AND SYSTEM  
Application No.: 10/020,415  
Filing Date: December 18, 2001  
Examiner: Herndon, Heather R  
Art Unit: 2179

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.56**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Submitted herewith on Form PTO/SB/08 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR §1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

### **TIMING OF THE DISCLOSURE**

The listed documents are being submitted in compliance with 37 CFR §1.97(b), before the mailing date of the first Office Action on the merits, and within three (3) months of the mailing date of the foreign search report.

### **RELEVANCE OF EACH DOCUMENT**

A translation of a portion of a Japanese Office Action that issued August 11, 2004 with respect to a counterpart Japanese patent application is provided below:

"{Reason 1}"

The description of the Scope of Patent Claims of this application does not fulfill the requirements stipulated in Article 36, Paragraph 6, Item 2 of the Japan Patent Law in the following points.

#### **Note**

1. The subjects of the operations of each step in Claims 5 to 8 are not specified, and both the "method to manipulate a device called a computer," which is a method wherein a human being executes various steps by manipulating a computer, and the "data processing method using computer software" can be construed.

Consequently, the inventions according to the claims cannot be clearly understood, because the differing ideas of a "method to manipulate a device called a computer" and a "data processing method using computer software," which should properly be separate claims, are included in a single claim.

Therefore, the inventions according to Claims 5 to 8 are not clear.

2. It is not clear whether the "when searching the page image data" in Claims 4, 8, and 12 indicates a means, step or procedure of Claims 1 to 3, 5 to 7, and 9 to 11, and so the inventions of Claims 4, 8, and 12 are not clear.
3. The purpose of selecting the matrix in the inventions of Claims 4, 8, and 12, and the operations which accompany this are unclear. That is to say, the point about identifying

the length and width during a search even though Claims 4, 8, and 12 are inventions that do not identify a length and width when registering page image information is unclear.

{Reason 2}

The inventions related to the following claims of the present application could have been easily invented by a person with ordinary knowledge of technology in the field to which the inventions belong based on the inventions recited in the publications below, which had been distributed in Japan or abroad prior to the filing of this application, and therefore cannot receive a patent according to the stipulations of Article 29, Paragraph 2 of the Japan Patent Law.

Note

(For a list of the cited literature, see the List of Cited Literature)

- Claims 1 through 12
- Cited Literature 1 through 3

Remarks

Described in Cited Literature 1 is a document filing system that provides: a means to identify regions of diagrams from document page image data, classify the identified regions of diagrams based on a previously defined diagram arrangement classification standard (refer to Figures 7 and 8), and save by correlating the aforementioned classification and the aforementioned page image information; and a means to search for and display the page image data when a diagram arrangement of the page image information is specified.

Described in the third invention of Cited Literature 2 ({0197} through {0210}) is a document filing system that provides: a means to identify regions of diagrams from document page image data, to classify the identified arrangement of diagrams based on a previously defined diagram arrangement type (Figure 73), and to save by correlating the aforementioned classification and the aforementioned page image information (in the example of Figure 74, the diagram arrangement type: G has been correlated); and a means to search and display the page image data when a diagram arrangement type is specified.

The configuration of using a mouse pointer to enter an arrangement on a page by specifying the interior of the page frame

displayed on a computer screen is a well-known technology, and a person skilled in the art could easily obtain the configuration of Claims 1, 5, and 9 by adopting the aforementioned well-known technology as a configuration to specify the arrangement of the diagrams in Cited Literature 1, or by adopting the aforementioned well-known technology to substitute for the configuration that specifies the diagram arrangement type of Cited Literature 2.

Described in Cited Literature 3 is a document filing system that: can use a specified part extraction unit 2 to extract the diagram region of a document; can save by using a specified part characteristic identification unit 5 to identify the color thereof, relating this to page image information; and can include the color and the length and width of the paper in the search conditions.

A person skilled in the art could easily invent the configurations of Claims 2 to 4, 6 to 8, and 10 to 12 based on the aforementioned well-known technology and Cited Literature 1 to 3."

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

#### **STATEMENT**

The undersigned hereby states in accordance with 37 CFR §1.704(d) that each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR §1.56(c) more than thirty days prior to the filing of the information disclosure statement.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 CFR §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

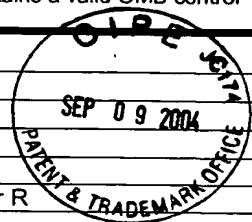
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Substitute for form 1449B/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> Date Submitted: September 9, 2004 (use as many sheets as necessary)		<b>Complete if Known</b> Application Number: 10/020,415 Filing Date: 12/18/2001 First Named Inventor: Akiko SHIRAI Group Art Unit: 2179 Examiner Name: Herndon, Heather R Attorney Docket Number: 040425-0152	
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U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	A1	JP	6-348758		12/22/1994		ABS	
	A2	JP	7-141389		06/02/1995		ABS	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>6</sup>

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.